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By: 

Date: October 4, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applic. No. : 10/727,802 Confirmation No: 6860  
Applicant : Heiko Schwarz, et al.  
Filed : December 4, 2003  
Art Unit : 2613  
Title : Method and Arrangement for Coding Transform Coefficients in  
Picture and/or Video Coders and Decoders and a Corresponding  
Computer Program and a Corresponding Computer-Readable  
Storage Medium  
Docket No. : S&ZFH030507  
Customer No. : 24131

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. 1.97(C)(2)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 C.F.R. 1.98 copies of the following patents and/or publications are submitted herewith:

Ref 1.01: **Title:** Draft ITU-T Recommendation and Final Draft International Standard Joint Video Specification (ITU-T Rec. H.264| ISO/IEC 14496-10 AVC). **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-250.

Ref 1.02: **Title:** Overview of the H.264/AVC Video Coding Standard. **Author:** Thomas Wiegand, Gary J. Sullivan, Senior Member, IEEE, Gisele Bjontegaard, and Ajay Luthra, Senior Member, IEEE. **Pages:** 560-576.

Ref 1.03: **Title:** Information Technology-Generic Coding Moving Pictures and Associated Audio Information: Video. **From:** International Standard 13818-2 Recommendation ITU-T H.26. **Pages:** 1-224.

10/07/2004 SSITHIB1 00000036 10727802 180.00 DP  
01 FC:1806

Ref 1.04: **Title:** Draft Text of Recommendation H.263 Version 2 ("H.263+") for Decision.  
**From:** International Telecommunication Union. **Pages:** 1-143.

Ref 1.05: **Title:** Information Technology-Coding of Audio Visual Objects-Part 2: Visual.  
**From:** International Organization for Standardization Organization International  
Normalization ISO/IEC JTC1/SC29/WG 11 Coding of Moving Picture and Audio.  
**Pages:** 1- 526.

Ref 1.06: **Title:** DCT Coding for Motion Video Storage Using Adaptive Arithmetic  
Coding. **Author:** C.A. Gonzalez, L. Allman, T. McCarthy, P. Wendt. **Pages:** 145-154.

Ref 1.07: **Title:** Adaptive Codes for H.26L. **From:** ITU -Telecommunications  
Standardization Sector. **Pages:** 1-7

Ref 1.08: **Title:** Further Results for CABAC Entropy Coding Scheme. **From:** ITU -  
Telecommunications Standardization Sector. **Pages:** 1-8.

Ref 1.09: **Title:** Improved CABAC. **From:** Joint Video Team (JVT) of ISO/IEC MPEG &  
ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-6.

Ref 1.10: **Title:** New Results in Improved CABAC. **From:** Joint Video Team (JVT) of  
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**Pages:** 1-12.

Ref 1.11: **Title:** Improved CABAC. **From:** ITU-Telecommunications Standardization  
Sector. **Pages:** 1-9.

Ref 1.12: **Title:** Fast Arithmetic Coding for CABAC. **From:** Joint Video Team (JVT) of  
ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6).  
**Pages:** 1-11.

Ref 1.13: **Title:** CABAC and Slices. **From:** Joint Video Team (JVT) of ISO/IEC MPEG  
& ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-17.

Ref 1.14: **Title:** Analysis and Simplification of Intra Prediction. **From:** Joint Video Team  
(JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16  
Q.6).

Ref 1.15: **Title:** Proposed Cleanup Changes for CABAC. **From:** Joint Video Team  
(JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16  
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Ref 1.16: **Title:** CABAC Cleanup and Complexity Reduction. **From:** Joint Video Team  
(JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16  
Q.6). **Pages:** 1-20.

Ref 1.17: **Title:** Final CABAC Cleanup. **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-24.

Ref 1.18: **Title:** Very Low Bit-Rate Video Coding Using Wavelet-Based Techniques. **Author:** Detlev Marpe and Hans L. Cycon. **Pages:** 85-94

Ref 1.19: **Title:** Wavelet-Based Very Low Bit-Rate Video Coding Using Image Warping and Overlapped Block Motion Compensation. **Author:** G. Heising, D. Marpe, H.L. Cycon and A.P. Petukhov. **Pages:** 93-101.

Ref 1.20: **Title:** Motion-Compensated 3-D Subband Coding of Video. **Author:** Seung-Jong Choi and John W. Woods, Fellow IEEE. **Pages:** 155-167.

Ref 1.21: **Title:** A New Fast and Efficient Image Codec Based on Set Partitioning in Hierarchical Trees\*. **Author:** Amir Said (Faculty of Electrical Engineering) and William A. Pearlman (Department of Electrical, Computer, and Systems Engineering Rensselaer Polytechnic Institute). **Pages:** 1-15.

Ref 1.22: **Title:** Efficient Pre-Coding Techniques for Wavelet-Based Image Compression. **Author:** Detlev Marpe and Hans L. Cycon. **Pages:** 45-51.

Ref 1.23: **Title:** Universal Modeling and Coding. **Author:** Jorma Rissanen and Glen G. Langdon, Jr., Senior Member, IEEE. **Pages:** 12-23.

Ref 1.24: **Title:** Universal Coding Information, Prediction, and Estimation. **Author:** Jorma Rissanen. **Pages:** 629-636.

Ref 1.27: **Title:** Applications of Universal Context Modeling to Lossless Compression of Grey-Scale Images. **Author:** Marcelo J. Weinberger, Member, IEEE, Jorma J. Rissanen, Senior Member, IEEE, and Ronald B. Arps. **Pages:** 575-586.

Ref 1.29: **Title:** A Compression Method for Clustered Bit-Vectors. **Author:** Jukka Teuhola (Department of Computer Science, University of Turku). **Application:** XP-001000934.

Ref 1.30: **Title:** Optimal Source Codes for Geometrically Distributed Integer Alphabets. **Author:** Robert G. Gallager, fellow, IEEE, David C. Vanvorhis, member, IEEE. **Pages:** 228-230.

Ref 1.31: **Title:** A Context Modeling Algorithm and its Application in Video Compression. **Author:** Marta Mrak, Detlev Marpe, and Thomas Wiegand.

Ref 1.32: **Title:** An Overview of the Basic Principles of the Q-Coder Adaptive Binary Arithmetic Coder. **Author:** W.B. Pennebaker, J.L. Mitchell, G.G. Langdon, Jr., and R.B. Arps. **Pages:** 717-726.

Ref 1.33: **Title:** A Multiplication-Free Multialphabet Arithmetic Code. **Author:** Jorma Rissanen and K.M. Mohiuddin. **Pages:** 93-98.

Ref 1.34: **Title:** Practical Implementations of Arithmetic Code. **Author:** Paul G. Howard and Jeffrey Scott Vitter. **Pages:** 1-30.

Ref 1.35: **Title:** Sample Data Coding. **From:** Chapter 12. **Pages:** 474-484.

Ref 1.37: **Title:** Arithmetic Code Revisited. **Author:** Alistair Moffat (The University of Melbourne), Radford M. Neal (University of Toronto), and Ian H. Witten (the University of Waikato). **Pages:** 257-294.

Ref 1.38: **Title:** Rate-Constrained Coder Control and Comparison of Video Coding Standards. **Author:** IEEE Transactions on Circuits and Systems for Video Technology, Vol. 13, No. 7, July 2003. Thomas Wiegand, Heiko Schwarz, Anthony Joch, Faouzi Kossentini, Senior Members, IEEE, and Gary J. Sullivan, Senior Member, IEEE. **Pages:** 689-703.

Ref 2.1: **Title:** Draft ITU-T Recommendation and Final Draft International Standard of Joint Video Specification (ITU-T rec. H.264 I ISO/IEC 14496-10 AVC). **From:** Joint Video Team (JVT) of SO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG 16 Q.6). **Pages:** 1-249.

Ref 2.03x: **Title:** Line Transmission of Non-Telephone Signals / Video Codec for Audiovisual Services AT p x 64 kbit/s. **From:** International Telecommunication Union H.261. **Pages:** 1-25.

Ref 2.06x: **Title:** H.264/AVC Over IP. **Author:** Stephan Wenger. **Pages:** 645-656.

Ref 2.07: **Title:** H.264/AVC in Wireless Environments. **From:** Thomas Stockhammer, Miska M. Hannuksela, and Thomas Wiegand. **Pages:** 657-673.

Ref 2.08: **Title:** Motion-and Aliasing-Compensated Prediction for Hybrid Video Coding. **Author:** Thomas Wedi and Hans Georg Musmann. **Pages:** 577-586.

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Ref 2.11: **Title:** A Locally Optimal Design Algorithm for Block-Based Multi-Hypothesis Motion-Compensated Prediction. **Author:** Markus Flierl, Thomas Wiegand, and Bernd Girod Telecommunications Laboratory University of Erlangen-Nürnberg, Germany. **Pages:** 1-10.

Ref 2.12: **Title:** Generalized B Pictures and the Draft H.264/AVC Video-Compression Standard. **Author:** Markus Flierl, Student Member, IEEE, and Bernd Girod, Fellow, IEEE. **Pages:** 587-597.

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Ref 2.15: **Title:** The SP-and Si-Frames Design for H.264/AVC. **Author:** Marta Karczewicz and Ragip Kurceren, Member, IEEE. **Pages:** 637-644.

Ref 2.16: **Title:** Context-Based Adaptive Binary Arithmetic Coding in the H/264/AVC Video Compression Standard. **Author:** Detlev Marpe, Member, IEEE, Heiko Schwarz, and Thomas Wiegand. **Pages:** 620-636.

Ref 2.17: **Title:** Low-Complexity Transform and Quantization in H.264/AVC. **Author:** Henrique S. Malvar, Fellow, IEEE, Antti Hallapuro, Marta Karczewicz, and Louis Kerofsky, Member, IEEE. **Pages:** 598-603.

Ref 2.18: **Title:** Adaptive Deblocking Filter. **Author:** Peter List, Anthony Joch, Jani Lainema, Gisle Bjontegaard, and Marta Karczewicz. **Pages:** 614-619.

Ref 2.19: **Title:** A Generalized Hypothetical Reference Decoder for H.264/AVC. **Author:** Jordi Ribas-Cobrerá, Member, IEEE, Philip A. Chou, Senior Member, IEEE, and Shankar L. Regunathan. **Pages:** 674-687.

Ref A: **Title:** Draft ITU-T Recommendation and Final Draft International Standard of Joint Video Specification (ITU-T Rec. zh.264 | ISO/IEC 14496-10 AVC). **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO.IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-253.

Ref B: **Title:** A Highly Efficient Multiplication-Free Binary Arithmetic Coder and its Application in Video Coding. **Author:** Detlev Marpe and Thomas Wiegand. **Pages:** 1-4.

Ref C: **Title:** Proposed Editorial Changes and Cleanup of CABAC. **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO.IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-10.

Ref D: **Title:** Study of Final Committee Draft of Joint Video Specification (ITU-T Rec. H.264 | ISO/IEC 14496-10 AVC). **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO.IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-239.

Ref E: **Title:** Study of Final Committee Draft and Joint Video Specification (ITU-T Rec. H.264 | ISO/IEC 14496-10 AVC). **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO.IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-227.

Ref F: **Title:** CABAC and Slices. **From:** Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). **Pages:** 1-17.

In accordance with 37 C.F.R. 1.97(e) the undersigned herewith states that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

If no translation of pertinent portions of any foreign language patents or publications mentioned above is included with the aforementioned copies of those applications, patents and/or publications, it is because no existing translation is readily available to the applicant. As per the Notice in 1273 OG 55 (August 5, 2003) no copies of any above-mentioned U.S. patents and U.S. patent application publications are submitted for any application filed after June 30, 2003.

In accordance with 37 C.F.R. 1.97 (c) (2), consideration of this Information Disclosure Statement is requested.

Enclosed is the fee in the amount of \$180.00.

It is believed that the enclosed prior art is less pertinent than the prior art previously submitted and cited by the Examiner. Kindly place the references in the Patent Office file wrapper.

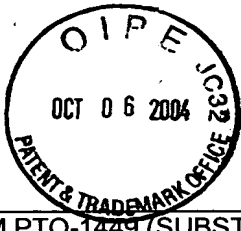
Respectfully submitted,

  
Alfred K. Dassler

**Alfred K. Dassler**  
**52,794**

Date: October 4, 2004

Lerner And Greenberg, P.A.  
Post Office Box 2480  
Hollywood, FL 33022-2480  
Tel: (954) 925-1100  
Fax: (954) 925-1101



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FORM PTO-1449 (SUBSTITUTE)		Attorney Docket No.: S&ZFH030507	Applic. No. 10/727,802
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Applicant Heiko Schwarz, et al.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))		Filing Date December 4, 2003	Group Art Unit 2613
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)			
		Ref 1.01: <b>Title:</b> Draft ITU-T Recommendation and Final Draft International Standard Joint Video Specification (ITU-T Rec. H.264I ISO/IEC 14496-10 AVC). <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-250.	
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		Ref 1.10: <b>Title:</b> New Results in Improved CABAC. <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-12.
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		Ref 1.35: <b>Title:</b> Sample Data Coding. <b>From:</b> Chapter 12. <b>Pages:</b> 474-484.
		Ref 1.37: <b>Title:</b> Arithmetic Code Revisited. <b>Author:</b> Alistair Moffat (The University of Melbourne), Radford M. Neal (University of Toronto), and Ian H. Witten (The University of Waikato). <b>Pages:</b> 257-294.
		Ref 1.38: <b>Title:</b> Rate-Constrained Coder Control and Comparison of Video Coding Standards. <b>Author:</b> IEEE Transactions on Circuits and Systems for Video Technology, Vol. 13, No. 7, July 2003. Thomas Wiegand, Heiko Schwarz, Anthony Joch, Faouzi Kossentini, Senior Members, IEEE, and Gary J. Sullivan, Senior Member, IEEE. <b>Pages:</b> 689-703.

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		Ref 2.18: <b>Title:</b> Adaptive Deblocking Filter. <b>Author:</b> Peter List, Anthony Joch, Jani Lainema, Gisle Bjontegaard, and Marta Karczewicz. <b>Pages:</b> 614-619.
		Ref 2.19: <b>Title:</b> A Generalized Hypothetical Reference Decoder for H.264/AVC. <b>Author:</b> Jordi Ribas-Cobrerá, Member, IEEE, Philip A. Chou, Senior Member, IEEE, and Shankar L. Regunathan. <b>Pages:</b> 674-687.
		Ref A: <b>Title:</b> Draft ITU-T Recommendation and Final Draft International Standard of Joint Video Specification (ITU-T Rec. zh.264 I ISO/IEC 14496-10 AVC). <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-253.
		Ref B: <b>Title:</b> A Highly Efficient Multiplication-Free Binary Arithmetic Coder and its Application in Video Coding. <b>Author:</b> Detlev Marpe and Thomas Wiegand. <b>Pages:</b> 1-4.
		Ref C: <b>Title:</b> Proposed Editorial Changes and Cleanup of CABAC. <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-10.
		Ref D: <b>Title:</b> Study of Final Committee Draft of Joint Video Specification (ITU-T Rec. H.264 I ISO/IEC 14496-10 AVC). <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-239.
		Ref E: <b>Title:</b> Study of Final Committee Draft and Joint Video Specification (ITU-T Rec. H.264 I ISO/IEC 14496-10 AVC). <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-227.
		Ref F: <b>Title:</b> CABAC and Slices. <b>From:</b> Joint Video Team (JVT) of ISO/IEC MPEG & ITU-T VCEG (ISO/IEC JTC1/SC29/WG11 and ITU-T SG16 Q.6). <b>Pages:</b> 1-17.
EXAMINER		DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		

<b>FORM PTO-1449 (SUBSTITUTE)</b>  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))	<table><tr><td>Attorney Docket No.:</td><td>Applic. No.</td></tr><tr><td>S&amp;ZFH030507</td><td>10/727,802</td></tr><tr><td colspan="2">Applicant</td></tr><tr><td colspan="2">Hekio Schwarz, et al.</td></tr><tr><td>Filing Date</td><td>Group Art Unit</td></tr><tr><td>December 4, 2003</td><td>2613</td></tr></table>	Attorney Docket No.:	Applic. No.	S&ZFH030507	10/727,802	Applicant		Hekio Schwarz, et al.		Filing Date	Group Art Unit	December 4, 2003	2613
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